

22388 U.S. PTO
10/675825



UTILITY PATENT APPLICATION TRANSMITTAL
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 42P16444
(maximum 12 characters)

First Named Inventor Rajesh K. Batra et al.

Title: REAL-TIME DIAGNOSTIC DATA STREAMS FOR TUNABLE OPTICAL DEVICES

Express Mail Label No. EV320118700US

ADDRESS TO: **Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450**

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. X **Fee Transmittal Form (e.g., PTO/SB/17)**
(Submit an original and a duplicate for fee processing)
2. **Applicant Claims Small Entity Status. (37 CFR 1.27)**
3. X **Specification (Total Pages 26)**
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference sequence listing, a table,
or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. X **Drawings(s) (35 USC 113) (Total Sheets 5)**
5. X **Oath or Declaration (Total Pages 6)**
 - a. X Newly Executed (Original or Copy)
 - b. Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 18 completed)
 - i. **DELETIONS OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
 - c. Unsigned.
6. **Application Data Sheet. (37 CFR 1.76)**
7. **CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)**
8. **Nucleotide and/or Amino Acid Sequence Submission**
(if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. X **Assignment Papers (cover sheet & documents(s))**
10. a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
11. X **b. Power of Attorney**
12. English Translation Document (if applicable)
13. a. Information Disclosure Statement (IDS)/PTO-1449 (or PTO/SB/08)
14. b. Copies of IDS Citations
15. Preliminary Amendment
16. X **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**
17. Certified Copy of Priority Document(s) (if foreign priority is claimed)
18. Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- 19A. Claim for Foreign Priority
- 19B. X Other: Certificate of mailing with copy of postcard signed by attorney

17C. X Pursuant to 37 C.F.R. 1.136(a)(3), applicant(s) hereby request and authorize the U.S. Patent and Trademark Office to (1) treat any concurrent or future reply that requires a petition for extension of time as incorporating a petition for extension of time for the appropriate length of time and (2) charge all required fees, including extension of time fees and fees under 37 C.F.R. 1.16 and 1.17, to Deposit Account No. 02-2666.

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title (e.g., by way of preliminary amendment), or in an Application Data Sheet Under 37 C.F.R. 1.76:

 Continuation Divisional Continuation-in-part (CIP)
 Of Prior Application No.: Examiner Group Art Unit
 (which is a continuation/ divisional/ CIP of prior application no.) (List entire chain of priority)
 which is a continuation/ divisional/ CIP of prior application no.

Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority. For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. Correspondence Address
 Customer Number or Bar Code Label (Insert Customer No. or Attach Bar Code Label)
 or

here)
 X Correspondence Address Below
 NAME Anthony H. Azure
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
 ADDRESS 12400 Wilshire Boulevard
Seventh Floor
 CITY Los Angeles STATE California ZIP CODE 90025
 Country U.S.A. TELEPHONE (206) 292-8600 FAX (206) 292-8606

Name (PRINT/TYPE): Anthony H. Azure Registration No.: 52,580
 Signature: [Signature] Date: 9-30-03

Based on Form PTO/SB/05 (08-03) as modified by BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP on 09/12/03.

17581 U.S. PTO

FEE TRANSMITTAL FOR FY 2003

TOTAL AMOUNT OF PAYMENT (\$)	1138
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Complete if Known:

Application No. New Patent Application

Filing Date Herewith

First Named Inventor Rajesh K. Batra

Group Art Unit Not Yet Assigned

Examiner Name Not Yet Assigned

Attorney Docket No. 42P16444

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666

Deposit Account Name

- [X] Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17**

- [] Applicant claims small entity status. See 37 CFR 1.27**

FEE CALCULATION

1. BASIC FILING FEE

<u>Large Entity</u>		<u>Small Entity</u>			
<u>Fee</u>	<u>Fee</u>	<u>Fee</u>	<u>Fee</u>		
<u>Code</u>	<u>(\$)</u>	<u>Code</u>	<u>(\$)</u>	<u>Fee Description</u>	<u>Fee Paid</u>
1001	750	2001	375	Utility application filing fee	750
1002	330	2002	165	Design application filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional application filing fee	

SUBTOTAL (1) \$ 750

2. EXTRA CLAIM FEES

		<u>Extra Claims</u>		<u>Fee from below</u>		<u>Fee Paid</u>
Total Claims	30	- 20** =	10	X	18	= 180
Independent Claims	5	- 3** =	2	X	84	= 168
Multiple Dependent					0	= 0

****Or number previously paid, if greater; For Reissues, see below.**

<u>Large Entity</u>		<u>Small Entity</u>		
Fee	Fee	Fee	Fee	
Code	(\$)	Code	(\$)	<u>Fee Description</u>
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$ 348

FEE CALCULATION (continued)

3. ADDITIONAL FEES

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Code</u>	<u>Fee (\$)</u>		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1813	8,800	1813	8,800	Request for inter parties reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	For filing a submission after final rejection (see 37 CFR 1.129(a))	40
1814	110	2814	55	Statutory Disclaimer	
1810	750	2810	375	For each additional invention to be examined (see 37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
1504	300	1504	300	Publication fee for early, voluntary, or normal pub.	
1505	300	1505	300	Publication fee for republication	
1803	130	1803	130	Request for voluntary publication or republication	
1808	130	1808	130	Processing fee under 37 CFR 1.17(i) (except provisionals)	
1454	1,300	1454	1,300	Acceptance of unintentionally delayed claim for priority	
Other fee (specify) _____					
Other fee (specify) _____					
*Reduced by Basic Filing Fee Paid				SUBTOTAL (3)	\$ 40

SUBMITTED BY:

Typed or Printed Name: Anthony H. Azure

Signature: 

Date: 9-30-03

Reg. Number: 52,580

Telephone Number: (206) 292-8600

Our Reference: 42P16444

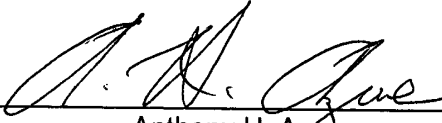
Patent

REAL-TIME DIAGNOSTIC DATA STREAMS FOR TUNABLE OPTICAL DEVICES

Inventors: Rajesh K. Batra, Ken P. Koller, Jiann-Chang Lo,
Andrew Daiber, Mark S. Rice, David K. Thiesen

Respectfully submitted,

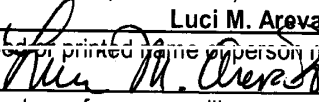
BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP



Anthony H. Azure
Reg. No. 52,580

"Express Mail" mailing label number: EV320118700US
Date of Deposit: September 30, 2003

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the United States Postal Service "Express Mail Post Office to Addressee"
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addressed to Mail Stop Patent Application, Commissioner for Patents,
P.O. Box 1450, Alexandria, VA 22313-1450

Luci M. Arevalo
(Typed or printed name of person mailing paper or fee)
September 30, 2003
(Signature of person mailing paper or fee) (Date signed)

Serial/Patent No.: <u>New Patent Application</u> Filing/Issue Date: <u>Herewith</u>	
Client: <u>Intel Corporation</u>	
Title: <u>REAL-TIME DIAGNOSTIC DATA STREAMS FOR TUNABLE OPTICAL DEVICES</u>	
BSTZ File No.: <u>42P16444</u>	Atty/Secty Initials: <u>AHA/lma</u>
Date Mailed: <u>September 30, 2003</u>	Docket Due Date: <u>*****</u>
The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:	
<input type="checkbox"/> Amendment/Response (____ pgs.)	<input checked="" type="checkbox"/> Express Mail No. <u>EV320118700US</u> <input checked="" type="checkbox"/> Check No. <u>3128</u>
<input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate)	<input type="checkbox"/> _____ Month(s) Extension of Time Amt: <u>\$1,222.00</u>
<input checked="" type="checkbox"/> Application - Utility (<u>26</u> pgs., with cover and abstract)	<input type="checkbox"/> Information Disclosure Statement & PTO-1449 (____ pgs.) <input type="checkbox"/> Check No. _____
<input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.)	<input type="checkbox"/> Issue Fee Transmittal Amt: _____
<input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.)	<input type="checkbox"/> Notice of Appeal
<input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs.)	<input type="checkbox"/> Petition for Extension of Time
<input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.)	<input type="checkbox"/> Petition for _____
<input type="checkbox"/> Application - Design (____ pgs.)	<input checked="" type="checkbox"/> Postcard
<input type="checkbox"/> Application - PCT (____ pgs.)	<input type="checkbox"/> Power of Attorney (____ pgs.)
<input type="checkbox"/> Application - Provisional (____ pgs.)	<input type="checkbox"/> Preliminary Amendment (____ pgs.)
<input checked="" type="checkbox"/> Assignment and Cover Sheet	<input type="checkbox"/> Reply Brief (____ pgs.)
<input checked="" type="checkbox"/> Certificate of Mailing	<input type="checkbox"/> Response to Notice of Missing Parts
<input checked="" type="checkbox"/> Declaration & POA (<u>6</u> pgs.)	<input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business
<input type="checkbox"/> Disclosure Docs & Orig & Copy of Inventor's Signed Letter (____ pgs.)	<input checked="" type="checkbox"/> Transmittal Letter, in duplicate
<input checked="" type="checkbox"/> Drawings: <u>5</u> # of sheets includes <u>5</u> figures	<input checked="" type="checkbox"/> Fee Transmittal, in duplicate
<input checked="" type="checkbox"/> Other: <u>Certificate of mailing with copy of return postcard signed by attorney.</u>	